

CHAPTER VI

SUPPORT FOR CASE REVIEW

1. Introduction. This chapter provides instruction for uniform selection of random case samples to be reviewed and instruction about entering data into the Regional Office BQC Federal Monitoring System which will subsequently generate reports to provide both the Regional Office and National Office with information on case review workloads and investigative exceptions. The chapter also includes information about the review of case reopening activity and National Office sampling of cases for rereview.

Material in this chapter is presented in the following order:

- selection of a random sample of completed cases for Regional Office review;
- recording of case review findings in the Regional Office BQC Federal Monitoring System;
- information available on the status of a Region's case review workload.
- information available on exceptions identified by a Region in the case review process.
- review of SESA reopenings of QC completed cases;
- random selection of cases for National Office rereview.

The following QC program review reports, in facsimile form, are presented in this chapter:

- Case Activity Report
- Regional Office Exception Report

2. Case Review Sample Selection. Each year Regional Office staff are responsible for reviewing a specified number of all the cases that are investigated by the SESA QC Unit. The sampling process and method of selection are described below.

a. Process. Regional Offices are responsible for reviewing an average of 100 cases per State in each Region. Regional Offices have the option of sampling fewer cases (minimum of 70 cases per year) in some States and reviewing larger samples in other States, based upon their evaluation of the relative quality of each State's QC program.

In order to obtain 'representative' sampling throughout the year in each State, Regional Offices are requested to sample at least 25 cases in each quarter where the annual sample is 100 or greater. In States where the annual review sample is less than 100 cases, Regional Offices are requested to select samples in two non-consecutive quarters. Two on-site reviews are required for each State during the year. Regional Offices may exercise the option of conducting the additional case reviews by mail with State concurrence.

The Regions may conduct "mail-in" reviews at the Regional Offices under the following provisions:

- the SESA concurs with this method of case review;
- the Region conducts at least two on-site reviews of at least 25 cases in each SESA during two non-consecutive quarters of the year; and
- the Region establishes appropriate internal controls to ensure that off-site reviews are completed and Regional Office findings are reported to the SESA in a timely manner (within 14 calendar days.)

b. Instructions for Selecting the Regional Samples. The sample selection option is found on the Case Management Menu in the Regional Monitoring System. ET Handbook No. 404 provides detailed instructions for using this function. Selecting the sample selection option from the case management menu will display a screen that shows case availability as of the date of selection back to the previous sample selection. For each State in the Region, it shows new cases available and previously sampled pending cases, not reviewed cases, and reopened cases. It also shows the number of cases closed by the Region since the beginning of the year. A sub-screen shows the quarterly distribution of cases previously sampled by State during the calendar year. These screens provide introductory information designed to help determine the number of cases which should be sampled. From either of these screens a State code can be entered which will pull up a Regional Monitor Sample Selection screen for that State. The number of cases to be randomly sampled from the pool of available cases can now be entered. The lower half of this screen also provides the opportunity to select the DCI, Monitor Discussion Report, and Case Review Report for each case.

Planning is necessary with the automated system because once the Regional Monitor enters the number of cases to be sampled the selection is final. The sampling frame of available cases gets adjusted to the date of the most recent sample selection, so after the sample selection is made there are no more cases available for review until additional cases are closed and entered into the system by the SESA. Monitors should review case

availability and coordinate the review with the SESA prior to sample selection.

Each case sampled is assigned a unique (for that State) Regional Office Case Number which is part of the Regional Office tracking system.

Every QC case will have a Batch Number and a Sequence Number within the batch. In the Regional Office sample selection process Social Security numbers will not be provided. States will have to use Batch and Sequence Numbers to identify the cases sampled.

3. Recording of Case Review Findings. Regional Office findings for each case reviewed must be entered into the Regional Office BQC Federal Monitoring System. From the Regional Main Menu select Case Management. From the Case Management Menu select Exceptions Recording. Refer to ET Handbook No. 404 for detailed instructions on how to record the results from a monitoring review of a State's QC activity.

4. Workload Status. The status of case review workload activity can be assessed at any time by viewing the Case Activity Report (QC-8) screen. This report tells by State how many cases have been closed year to date, how many are pending State action, and how many have been sampled but not yet reviewed. It also provides a quarterly breakout of the number of cases reviewed for each State.

The National Office will access this screen on the first working day of the second month after the end of each quarter to assess the status of Regional case review workload activity.

Worksheet. Facsimile of Case Activity Report.

QC-8

Report Date: 08/27/1992

Case Activity Report

Case Availability As Of 08/27/1992

	New Cases	YTD RO Closed	Previously Sampled Cases		
State	Avail	Cases	(1) Pend	Not Rev'd	(2) Reopen
AZ	0	31	3	4	0
CA	0	0	0	0	0
HI	0	0	0	0	0
NV	0	0	0	0	0
Total	0	31	3	4	0

(1) Cases reviewed and have exceptions outstanding.

(2) Regional reviewed cases closed by RO & reopened by the State after RO closure. (Any case with a reopen date greater than or equal to the RO closure date, for any reopen code.)

Cases Sampled For Calendar Year 1992

State Name	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	YTD Total
AZ	38	0	0	0	38
CA	0	0	0	0	0
HI	0	0	0	0	0
NV	0	0	0	0	0

5. Regional Office Exception Report. The results from case review and the exceptions that have been coded enable the Regional Office staff to focus on areas for technical assistance, and provide information on the SESA's adherence to QC requirements. This section provides information about data on the Regional Office Exception Report (QC-7 Report), which is generated from the Regional Office BQC Federal Monitoring System.

The Regional Office Exception Report can be selected for any desired time frame. This will make the report of value to the Region since it can now be used for specific reviews as well as for quarterly and cumulative analysis.

The National Office will access this report on the first working day of the second month following the end of each quarter in order to review and analyze the results of Regional monitoring. The Regional Offices should provide their analysis of this data on a quarterly basis. (Refer to Chapter VIII for instruction.)

The definition of each field on the report follows:

a. Summary Section. This section deals with all cases reviewed and all exceptions identified for any review period which the monitor can specify by entering beginning and ending dates.

(1) Cases

(a) "Rev'd" equals the total number of cases with Disposition Code 1, 2, 3, 4 or 5.

(b) "W/Out Except." equals the number of cases with Disposition Code 1.

(c) "With Except." equals the total number of cases with Disposition Code 2, 3 or 4.

(d) "With Multi. Except." equals the number of cases with Disposition Code 2, 3 or 4 that have more than one exception.

Note: Field d. is a subset of Field c.

(e) "Pending" equals the number of cases with Disposition Code 4.

Note: Field e. is a subset of Field c.

(f) "Not Discussed" equals the number of cases with Disposition Code 5.

(2) Exceptions

(g) "Agree" equals the number of exceptions with Disposition Code 2.

(h) "Disagree" equals the number of exceptions with Disposition Code 3.

(i) "Pending" equals the number of exceptions with Disposition Code 4.

(j) "Not Discussed" equals the number of exceptions with Disposition Code 5.

b. Coding Detail Section. This section deals with all cases with Disposition Code 1,2,3,4 and all exceptions on cases with Disposition Codes 1,2,3,4. Cases with Disposition Code 5 and all exceptions on cases with Disposition Code 5 are excluded from this section until all exceptions on the case are discussed with the QCS or designee, and the case disposition is changed to 1,2,3 or 4.

(1) Exceptions

(k) "# Except." equals the total number of code 2,3,4 exceptions on cases with disposition codes 2,3,4.

(2) Cases

(l) "# Cases with Except." equals the total number of cases with disposition codes 2,3,4.

(m) "# Cases Pending" equals the number of cases with disposition code 4.

(n) "# Cases Disagree" equals the number of cases with disposition code 3.

NOTES: THE PERCENTAGES FOR FIELDS b,c,d,e,f ARE CALCULATED BASED ON FIELD a.

THE PERCENTAGES FOR FIELDS l,m,n ARE CALCULATED BASED ON THE TOTAL OF FIELDS b + c.

IF A CASE HAS ONE EXCEPTION WITH A DISPOSITION CODE 5, BOTH THE CASE AND ALL EXCEPTIONS ON THE CASE ARE EXCLUDED FROM THE CODING DETAIL SECTION OF THE QC-7.

NOTE: For facsimile of Regional Office Exception Report (QC-7),
see Appendix B.

6. Review of SESA Case Reopenings. Case reopenings are transactions that are closely related to timely completion of QC case investigations, and to the integrity of QC data generated by the SESAs. QC case management methodology provides the option of reopening cases, when necessary, to change or correct a completed case. QC software provides the SESA with "reopening codes" to use to indicate in the database why it is necessary to take such actions.

Regional staff can now review SESA case reopening activity on an ongoing basis. Both the Case Activity Report and the Reopen History Report will provide information about cases that have been reopened. Regional staff will need to review cases coded as being reopened to ensure States are using reopen codes properly. Particular attention will be needed for cases which were reopened as a result of Federal monitoring, but were not part of the Regional sample. The use of Code 5 is allowed for any case which is reopened as a result of Federal monitoring.

It is planned that a future software release will provide an interface which will allow Regional staff to remove cases from the Case Activity Report once the Region determines the use of the Code 5, monitoring code, is valid. Also, a new Code 7 will be provided to allow a SESA user to reopen a closed master record to modify the two (2) non-key week data element fields, h3 and h4, without effecting time lapse. The user would only be able to access these data element fields when using Code 7.

7. Selection of Cases for Rereview by National Office Monitor.

The cases for rereview by National Office monitors will be selected by random sample of available cases; i.e., those cases which have been reviewed by a Regional Office monitor. The sample will be selected by the National Office.

The sample selected will be representative of Regional Office case review monitoring even though it will not be large enough to allow reliable statistical inferences from the data. Information generated will be sufficient to determine the integrity of the SESA data and to meet the objectives of National Office oversight. Only closed cases, that is cases with Disposition Code 1, 2 or 3, will be selected for review.